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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Gary L. Gastineau, et al      Art Unit : Unknown  
Serial No. : 09/815,589      Examiner : Unknown  
Filed : March 23, 2001  
Title : HEDGING EXCHANGE TRADED MUTUAL FUNDS OR OTHER  
PORTFOLIO BASKET PRODUCTS

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

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INFORMATION DISCLOSURE STATEMENT

Copies of the references listed on the attached form PTO-1449 are enclosed.

This statement is being filed within three months of the filing date of the application or before the receipt of a first Office action on the merits. Please apply any charges or credits to Deposit Account No. 06-1050.

Respectfully submitted,

Date: 10/9/03

Denis G. Maloney  
Denis G. Maloney  
Reg. No. 29,670

Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110  
Telephone: (617) 542-5070  
Facsimile: (617) 542-8906

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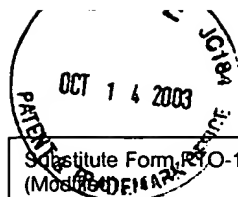
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Substitute Form PTO-1449 (Modified 11/14/00)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 11657-003002	Application No. 09/815,589
<b>Information Disclosure Statement by Applicant</b> (Use several sheets if necessary) (37 CFR §1.98(b))		Applicant Gary L. Gastineau, et al	
		Filing Date March 23, 2001	Group Art Unit

### U.S. Patent Documents

Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	AA						
	AB						
	AC						
	AD						
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### Foreign Patent Documents or Published Foreign Patent Applications

Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
	AL							
	AM							
	AN							
	AO							
	AP							

### Other Documents (include Author, Title, Date, and Place of Publication)

Examiner Initial	Desig. ID	Document
	AQ	"On Lines and Planes of Closest Fit to Systems of Points in Space", K. Pearson, <i>Philosophical Magazine and Journal of Science</i> , Vol. 2, Sixth Series, July-Dec. 1901, pp. 559-572.
	AR	"Market Models: A Guide to Financial Data Analysis", C. Alexander, Wileys, 2001, pp. 143-178.
	AS	
	AT	

Examiner Signature	Date Considered
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EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.